

DRINKING WATER PROGRAM
FY 2005 & FY 2006
WEST VIRGINIA DEPARTMENT OF HEALTH AND HUMAN RESOURCES
Guidance and Reporting Checklist-

June 2005

This Guidance and Reporting Checklist attempts to capture all of the tasks which make up a state's drinking water program. This includes all Primacy elements and other statutory requirements under the Safe Drinking Water Act, and those activities which could be funded with the DWSRF set-aside funds, Operator Certification Expense Reimbursement Grants (ERG) or the state Water Protection Coordination (Security) grants.

This Guidance attempts to capture activities for two years to assist those states wishing to develop two-year workplans and PWSS applications reflecting a two-year budget.

- T This Guidance links the various aspects of the drinking water program to EPA's Strategic Plan goals, objectives and subobjectives. Example Outputs and Outcomes have also be included, but states are encourage to identify as many Outputs and Outcomes under the various program components as possible.

Table of Contents for Program Guidance and Reporting Checklist

1. Focus Activities for FY 2005-2006
2. Activities Required to Maintain Primacy and elements PWSS grant funds can be used for:
 - 2.1 Data Management
 - 2.2 Compliance and Enforcement, including Base Program Primacy requirements
 - 2.3 New Regulation Development
 - 2.4 Surveillance and Technical Assistance
 - 2.5 Program Management
3. DWSRF Activities including statutory requirements for the following three program areas:
 - 3.1 Capacity Development
 - 3.2 Operator Certification Programs
 - 3.3. Source Water Assessment and Protection Programs

4. Recommended Activities which are optional, but fundable under PWSS or DWSRF grants
5. Additional State Activities (optional)
6. State Water Protection Coordination (Security) Grant Activities
7. Expense Reimbursement Grant (ERG) Activities

Attachments

- A. New Rule Adoption and Primacy Application Deadline Dates for States
- B. PWSS Key Performance Measures
- C. FY 2005 and 2006 (updated) Calendars
- D. Capacity Development Reporting Guidance placeholder
- E. Source Water Program Reporting form

All reporting is considered to be via the semi-annual self-assessments, unless noted otherwise.

1. Focus Activities for FY '05-06

These are the activities which need special emphasis during the year due to their importance or due to a regulatory deadline. These are listed here to capture your attention. These activities should not reduce the focus placed on responding to acute health contaminants at all public water systems.

- Continuation of Emergency Preparedness/Increased Security Activities with both state staff and public water suppliers, including responding to threats and emergencies.
- New Rule Development and adoption or submission of extension requests. Implementation of new federal rules to the extent possible under state regulations and as per Extension or Early Implementation Agreements.
- State Specific Activities
- Continuation of Operator Certification Programs and Expense Reimbursement for training
- Continue to improve Quality Systems and documentation of these systems, including revisions to QMPs and/or QAPPs as necessary due to the adoption of new regulations.
- Continue to improve data quality in SDWIS

The reporting on these activities should be done in the corresponding section of the Checklists.

Description of Joint Evaluation Process

The joint evaluation process will include semi-annual progress reports by the state, including the elements of 40 CFR §§ 35.115 and 31.40-41. EPA will assist the state in the development of a reporting checklist tool, completing the status of any known items for the state. The state will further complete the reporting checklist tool and submit to PEA on a semi-annual basis. EPA will review and provide feedback on these progress reports as quickly as possible. EPA will meet with the state, typically planned for mid-year timeframe, to discuss progress under the grant, any obstacles or short comings and make recommendations to the state for corrective action. EPA will provide all findings in writing to the state and may require the submission of a corrective plan by the state. In the event that resources do not allow EPA to meet with the state, e-mail and telephone discussions will take place to complete this evaluation.

DRINKING WATER PROGRAM GUIDANCE AND REPORTING CHECKLIST

Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.

Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in fish and shellfish, and in recreational waters.

Subobjective 1: Water safe to drink

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
<p>2. Activities Required to Maintain Public Water System Supervision (PWSS) Program Primacy. See elements of 40 CFR §§142.10, 142.12, 142.14, 142.15, and 142.16.</p> <p>Outcomes: Implementation of an effective drinking water program as described in the workplan, increasing the knowledge and awareness of water suppliers of drinking water regulations; improved public health protection; increased public awareness of drinking water quality; achievement of compliance with drinking water regulations; measureable progress toward achievement of all outputs.</p>		
<p>2.1 Data Management</p> <p>Outputs: ensuring accurate and complete data related to inventory, compliance and enforcement activities are provided to EPA in a timely manner, each quarter;</p>		
2.1.1	<p>Participate in and follow-up to EPA Data Verification Audit findings. State will address major findings of the report and report to EPA on its activities to prevent future occurrences. [Next review is scheduled for July 2005.]</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.1.2	Maintain a data base management system that accurately tracks the inventory (including routine updates of system information), tracks water quality monitoring information, and calculates monitoring and reporting (M/R) and maximum contaminant level (MCL) violations for all rule implementation priorities. §142.14(c)	
2.1.3	Report all violations and inventory updates for all systems, and for all rule implementation priorities, to the Safe Drinking Water Information System (SDWIS)/Federal system (FED) Also report any problems in reporting to SDWIS/FED on time. §142.15(a) & (b)	
2.1.4	SDWIS/FED reporting includes the following activities: a. Report all inventory updates with at least all of the mandatory reporting elements that determine grant eligibility. Refer to <i>Appendix A of the Consolidated Summary of State Reporting Requirements for the Safe Drinking Water Information System (SDWIS)</i> documentation, for the details on this reporting.	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.1.5	b. Report all M/R, MCL, Public Notification (PN), and treatment technique violations for all rules including M/R violations for unregulated contaminant monitoring. This activity includes tracking monitoring results, and recording violations for all community water systems (CWS), non-transient non-community water systems (NTNCWS), and transient non-community water systems (TNCWS).	
2.1.6	c. Report all formal enforcement actions and successfully link them to all appropriate violations. d. Report all variances and exemptions e. Report all milestone information required under the regulations. f. Report all required SWTR data (e.g., treatment codes for all surface water, purchased surface water, GUDI and purchased GUDI sources, seller's public water system identification (PWSID) number for purchased surface water and purchased GUDI sources, filtration reason codes, etc.)	
2.1.7	g. Report compliance achieved, identify and correct erroneous data, and submit deactivation data to SDWIS/FED for all applicable systems, especially Significant Non-compliers (SNCs).	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.1.8	Plan for and make system programming changes to meet any changes to the reporting requirements that will be effective in FY 2005 or early FY 2006. (Appendix A of Document EPA-812-B-95-001 summarizes all of the current reporting requirements.) Specifically, plan for SDWIS Modernization, and new regulation reporting requirements in sufficient time to meet reporting deadlines of these new rules. Also see Implementation Guidances for each new rule for details on data management/data reporting requirements. §142.15	
2.1.9	Verify and ensure the accuracy of SDWIS/FED data when SDWIS printouts are made available to the State.	
2.1.10	LCR unaddressed violations - Update data on PWSs that received a violation for monitoring or missed milestones and do not have a follow-up action reported for compliance achieved (i.e., SOX) that is linked to the violation. §142.16(c)(4)	
2.1.11	Report Public Notice (PN) violations on a routine basis where appropriate. §142.15(a)(1)	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.1.12	For new rules , (M/DBP, LCRMR, FBRR, IESWTR, Rads, Arsenic, and LT1) enter data into SDWIS. States not using SDWIS-State must develop the capability of reporting to SDWIS as per Extension/Implementation Agreements. For new rules which are in effect, but the state does not have Primacy, report information for EPA, Region III to make compliance determinations (see specific reporting needs in applicable Extension or Letter Agreements).	
2.1.13	Provide adequate staff training in data management procedures for all rules to ensure proper review of data, compliance determinations, data handling and error corrections,	
2.2 Compliance and Enforcement including Implementation of all PWSS Program Activities required by 40 C.F.R. §§142.15 & 142.16. Activities are listed by general first and then by National Primary Drinking Water Regulation (NPDWR). Outputs: undertaking enforcement program with informal and formal actions; making compliance determinations consistent with federal regulations; developing and delivering training programs for staff and public water suppliers		
2.2.1	Complete Annual Compliance Report by July 1st , for previous calendar year. SDWA Section 1414(c)	Output: 1 annual compliance report completed by July 1

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.2.2	<p>Promote compliance with the regulations. Notifying all systems of regulatory requirements and responding to questions (this includes CWSs, NTNCWSs and TNCWSs), taking enforcement action against recalcitrant or noncompliant systems, providing technical assistance, and issuing waivers, variances and exemptions, where appropriate.</p> <p>Give detailed comments <u>if possible</u> on what specific actions have been taken to promote compliance.</p>	<p>Outputs</p> <p># of technical assistance activities (describe)</p> <p># & type of enforcement actions taken</p> <p># actions taken to promote compliance (describe)</p>
2.2 Compliance and Enforcement including Implementation of all PWSS Program Activities required by 40 C.F.R. §§142.15 & 142.16. Activities are listed by general first and then by National Primary Drinking Water Regulation (NPDWR).		
2.2.3	<p>Maintain records of pertinent State decisions (e.g., filtration decisions, waiver determinations, public notification provisions). Report to system files all responses to M/R and MCL violations in accordance with escalation procedures as negotiated in the State Compliance Strategy. Report to system files all documentation of informal enforcement activities. §142.14</p>	
2.2.4	<p>Provide responses on SNC systems, on a quarterly basis using the standard format supplied with quarterly lists, to the SDWA Branch. Work with EPA SNC Coordinator to determine why problems are occurring and take steps to correct.</p>	<p>Output: 4 responses to quarterly SNC reports provided; identify here any problems with process or difficulties in addressing SNC systems</p>

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
<p>2.2.5 Government Performance and Results Act (GPRA) State Reporting Measures and Key PWSS Program Performance Indicators</p> <p>GPRA Measures: Reporting is met by reporting the required quarterly SDWIS compliance data or through other reporting already done under other initiatives such as the Source Water Matrix or Wellhead Protection Program reports. For information not already reported to EPA, reporting frequency is semi-annual. The following are the GPRA State Core Performance Measures and Associated Reporting Requirements:</p>		
A	<p>EPA Region III PWSS Key Performance measures - FY'04 will serve as the baseline for the FY'05-'06 time frame. See Table in PWSS Guidance, Appendix B.</p>	<p>Compliance with many of these measures is tracked in SDWIS. Further reporting is required for measures relating to source water protection and sanitary surveys.</p>
2.2.6	<p>SWTR: Implement the entire rule. Complete GUDI determinations for all CWS and all NCWS as <u>per negotiated deadlines</u> in Corrective Action Plan since regulatory GUDI determination deadlines have past: CWS - June 29, 1994; NCWS - June 29, 1999</p>	<p>Outputs: ____ GUDI determinations completed (provide by type of system and overall % completion by system type) ____ filter performance evaluations completed</p> <p>Also report on problems/obstacles with completing assessments, particularly at seasonal or non-responsive systems and the expected timeframe for completion.</p>

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.2.7	<p>TCR: Implement the entire rule for all system types. Implementation includes: enforcing routine and repeat monitoring, making compliance determinations, conducting sanitary surveys, and reviewing sample site plans. Enforce additional routine monitoring the month following a positive sample and PN requirements.</p>	<p>Outputs: ____ sampling site plans reviewed</p> <p>Report on any rule implementation difficulties</p>
2.2.8	<p>Phase II and V Rule for nitrates and nitrites: Implement the entire rule for all system types. Implementation includes: enforcing initial and follow up monitoring, making compliance determinations, and following up on violations</p>	
2.2.9	<p>Phase II and V Rule for Chronic Contaminants: Implementation includes making compliance determinations for monitoring that has been conducted, enforcing follow-up monitoring where results are greater than the MCL, and follow-up on MCL violations. States are also encouraged to make development and implementation of waiver programs a priority implementation activity. Enforce follow-up monitoring requirements where results are less than the trigger level. Enforce initial monitoring, and enforce follow-up monitoring where results are between the trigger level and the MCL.</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.2.10	Lead and Copper Rule (LCR) including the Minor Revisions for all PWSs: Implement the entire rule for all systems. Enforce routine water quality parameter monitoring and additional lead and copper monitoring. Enforce public education for all systems. Report action level exceedances and milestone information to SDWIS.	
2.2.11	Stage I DBP: Continue implementation of the Stage 1 DBP. Ensure that systems update their monitoring plan if they change any of their sampling locations or dates.	
2.2.12	IESWTR: Continue implementation of IESWTR. Provide a list of systems that have had a sanitary survey completed during the previous year and an annual evaluation of your state's program for conducting sanitary surveys (§142.15(c)(5)).	
2.2.13	Rads: Implement the radionuclides rule. Work with PWS's, as needed, to ensure they are aware of their regulatory requirements. Work with the appropriate state agency to identify systems designated as "contaminated" or "vulnerable to contamination" by nuclear effluents and monitor accordingly.	
2.2.14	Arsenic: Implement the Arsenic rule. Work with PWS's, as needed, to ensure they are aware of their regulatory requirements.	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.2.15	FBRR: Review plant recycling information during sanitary surveys.	
2.2.16	LT1: Inform the affected systems of their requirements under the rule and report any violations to SDWIS/FED.	
2.2.17	All Other Currently Regulated Chemicals: Take enforcement actions for all arsenic MCL and M/R violations. Enforce total trihalomethane monitoring and MCL violations. Enforce current radionuclide standards. Enforce monitoring for other contaminants. Enforce against systems with other MCL violations	
2.2.18	PN Rule: Include public notification requirements in compliance assistance and enforcement actions that are taken on MCL, treatment technique, and M/R violations following all aspects of Revised PN Rule effective May 2002.	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.2.19	Revise the State Compliance Strategy to reflect changes in the State and Federal regulations, including revised Penalty Authorities, any new or revised State MCLs, any new SNC definitions, State procedural or organizational changes, and State/U.S. EPA Enforcement Agreements. The revisions should also include updated timely and appropriate flow charts for TCR, total trihalomethane, Radionuclides, Phase 2 and 5, SWTR, Lead Ban, and LCR violations, the CCR rule, IESWTR and DDBP rule, LCRM, Arsenic, FBRR, LT1, and other new rules when available. The charts should trace the State's response from identification of a violation through the State's most formal enforcement tools to final compliance. §142.11	Output: revised compliance strategy
2.2.20	Screen data submitted by public water systems for evidence of data falsification, and take follow-up enforcement action as appropriate.	Output: enforcement actions taken for data falsification
2.2.21	Certify that the responsible State agency (if not the drinking water program) continues to enforce the Lead Ban , through inspections and State enforcement actions. §142 If possible, report on inspections and enforcement actions taken to enforce Lead Ban	Outputs: # of inspections and enforcement actions taken Describe inspection program and any enforcement actions taken regarding Lead Ban

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.2.22	Maintain records of tests, measurements, analyses, decisions, and determinations performed on each PWS to determine compliance with application drinking water regulations; sanitary surveys, enforcement actions, vulnerability determinations, Public Notice, etc.; make records available to the Regional Administrator upon request. §142.14	
2.2.23	<p>Consumer Confidence Report: Report on implementation of CCR Rule (§142.15, §142.16(f))</p> <p>States with Primacy for the CCR rule must report violations and enforcement actions directly to SDWIS by 11/15.</p> <p>States without Primacy: Report in August CWSs that sent out CCRs and those that did not in an easy to read format, EPA will generate violations for SDWIS. Report similar data for the certifications.</p>	
2.2.24	Consider this a place holder for the Office of Enforcement and Compliance (OECA) reporting measures. [As far as we know, there are no additional reporting requirements for the States. OECA primarily looks at SNCs, SNCs which have returned to compliance, and those SNCs which are exceptions. OECA Priorities include implementation and enforcement of microbial rules and Federal enforcement of new rules]	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
<p>2.3 Regulation Development and Authority Adopt all rules on schedule as required by §142.12 and any Special Primacy requirements found at §142.16. States are strongly encouraged to adopt rules within the two years deadline to avoid a crunch in future years. Complete all primacy application packages as specified in any applicable memorandum of agreement or extension agreement. Report on any major implementation issues or problems. Apply for extension of time to adopt new regulations within two years of promulgation. Region III prefers at least a 3 month lead time to complete Extension Agreements by this deadline. Also see EPA Region III's Binders, mailed to each State as the Implementation Guidances become final (these contain the primacy revisions to specific rules and new primacy requirements to be added as per SDWA 1996). NOTE: All rule effective dates, primacy revision package/extension request dues dates are included in Appendix A of the PWSS Guidance Document.</p>		
2.3.1	<p>Analytical Methods Rule Changes Revise the State rules so that they are as stringent as the Federal analytical methods changes. §142.12</p>	
2.3.2	<p>Maintain required statutory and regulatory authorities (those upon which primacy approval was based). Report on the status of any State reorganizations, and their effects on statutory or regulatory authorities, and on implementation.</p> <p>Report on any changes to statutory, regulatory or laboratory certification status of the State Primacy Agency. §142.12</p>	
2.3.3	<p>Prepare for and adopt Ground Water Rule (GWR) Submit Primacy Revision Application or Extension Request to EPA by mid 2007 based on estimate of late 2005 final rule promulgation. §142.12 and §142.16</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.3.4	Prepare for Radon Rule . Identify systems which may have elevated levels and work with systems to reduce risk of exposure. §142.12	
2.3.5	Prepare for new regulations to be promulgated in 2006 and 2007 with State rule adoption due 2 years later: LT2/Stage 2 DBP, Conduct early implementation activities as per checklist for these 2 rules. §142.12 and §142.16	
2.4 Surveillance and Technical Assistance		
2.4.1	Maintain an adequate sanitary survey program. Document deficiencies found in the surveys and follow-up to correct these deficiencies within the State's authority. Please provide the number of CWSs, NTNCWSs, and NCWSs which are scheduled for sanitary surveys in FYs 2005 and 2006 in the State's workplan and provide an update on the number of surveys completed. Please report on any key survey deficiencies or issues at SNC systems. §142.16	Output: # of sanitary surveys conducted at: Ground Water CWS = _____ Surface or GUDI CWS = _____ NTNCWS = _____ TNCWS = _____

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.4.2	<p>Maintain adequate plan and specification review program to assure that design and construction of new and modified drinking water system facilities will be capable of complying with the drinking water regulations.</p> <p>Please provide an update on the number of reviews completed, or key problem areas in semi-annual self-assessment.</p> <p>§142.10</p>	<p>Ouputs: plan review/permits issued</p>
2.4.3	<p>Maintain the capability to respond to emergency circumstances and to ensure provision of potable drinking water under emergency circumstances.</p> <p>§142.10</p>	<p>Please report on any ongoing emergency issues</p>

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.4.4	<p>Maintain documentation for and implement a Quality Management System which includes an adequate laboratory certification program. Update the State Quality Management Plan for the PWSS Program. The State PWSS Quality Management Plan (QMP) documents the Standard Operating Procedures (SOP) and QA/QC requirements for the laboratory and the PWSS quality assurance systems. The QMP will include management and organization regarding QA, descriptions of technical tools of QA for all program functions including: laboratory certification and SOPs; PWS compliance, inventory and monitoring data; personnel qualifications and training, and other information. This plan is mandatory for all PWSS grant recipients and must be updated annually or as needed.</p> <p>Submit additional requested documentation for conditional approved plans to make QMPs approvable.</p> <p>40 C.F.R. §30.54 and 31.45 and EPA Guidance–EPA QA/R-2</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.4.5	<p>Develop, implement and update documentation for Quality Assurance Project Plans (QAPP) for collection, transport and analysis of samples intended for developing information or data to be used for implementation of the PWSS Program. QAPPs are to follow EPA guidance on plan development. QAPPs are not necessary if State PWSS Program staff do not collect any samples in the implementation of the PWSS program.</p> <p>These plans must be updated as needed.</p> <p>40 CFR §§30.54 and 31.45, EPA Guidance EPA QA/R-5.</p> <p>Review QAPPs of contractors.</p>	
2.4.6	<p>Establish and maintain a state program for the certification of laboratories conducting analytical measurements of drinking water; assure availability to the state of laboratory facilities certified and capable of performing analytical measurements of all contaminants.</p> <p>State Lab should complete PT sample studies and repeating of any analysis that were unacceptable in make-up studies.</p> <p>§142.10(b)(3) & (4)</p> <p>To the extent possible, place listing of labs on website.</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.4.7	<p>Unregulated Contaminant Monitoring Rule (UCMR) - Carry out responsibilities under the mutually agreed upon Partnership Agreement (PA). Specifically those activities occurring in FY2005 & 2006</p> <ul style="list-style-type: none"> - Provide sampling and reporting assistance to those water systems performing monitoring of List 1 and List 2 contaminants; - Ensure that each system's treatment plant location(s) as latitude and longitude is reported to SDWIS; (this is in addition to the street address) - Assist EPA in obtaining water system compliance through follow-up contact with those systems non-complying. EPA will provide a list of such systems. - Review monitoring data reported to SDWARS/UCMR. - Work with Community water systems to include UCMR data in CCRs 	
2.4.8 Training		
2.4.8.1	<p>Leverage both PWSS and DWSRF grant set-aside funding to increase the amount of training made available to operators of public water systems. Training on regulations, treatment technologies (particularly small system treatment technologies) and public education should be stressed. Report on the type and numbers of training courses given.</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.4.8.2	Train State and local PWSS program staff on new and current regulations and water treatment technologies with a focus on small system treatment technology. EPA Region III will assist wherever possible.	Outputs: # and type of training courses
2.5 Program Management		
2.5.1	Prepare preliminary FY 2006 and FY 2007 grant application(s) which addresses all applicable required grant elements, and submit all required grant forms and supporting documentation. 40 C.F.R. Part 31 & 35	
2.5.2	Prepare and submit a final FY 2006 and FY 2007 grant application which addresses all Region III comments on the preliminary draft plan, including all budget documentation and supporting information. 40 C.F.R. Part 31 & 35. Consider two-year applications.	Outputs: submission of grant application by August 1, 2005 and August 2006 (unless budget period changes)

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.5.3	<p>Prepare and submit a semi-annual self assessment which reports State progress in meeting State program plan commitments to the Region. Entails reporting on all activities as identified in the work plan including those performed by the recipient, by contractors and through interagency agreements. Self assessment shall include: a progress summary, justification for any outputs not submitted in accordance with the agreed upon schedule, and a discussion of anticipated program problems in the upcoming quarter(s). The first status report should contain a listing of each milestone (output) and their schedule completion dates.</p> <p>It is expected that this document will also serve as a reporting tool. 40 C.F.R. §31.40 and §142.15</p>	<p>Outputs: submission of semi-annual progress report discussing all funded activities under the grant. This checklist may be used for the reporting tool, but must content as noted in left-hand column.</p>
2.5.4	<p>As per Corrective Action Plan, continue efforts to hire and retain new staff; keep EPA informed of hiring status;</p>	<p>Outputs: reporting on hiring status, including current organization chart, listing of vacancies associated with funding source (PWSS, SRF or state) and a status of filling each vacancy. Describe difficulties or obstacles to hiring and retaining staff.</p>
2.5.5	<p>All changes to the approved workplan must be discussed with the EPA State Program Manager prior to making the change in order to determine if this is a <i>significant program change</i> requiring an amendment or other written documentation for the grant award. 40 CFR Part 31 & 35</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
2.5.6	<p>Provide a Final Financial Status Report documenting FY 2004 and FY 2005 expenditures within 90 days of end of budget period. Program staff are strongly encouraged to work with state grants administrative staff to ensure that this occurs in a timely manner since it can effect carryover applications and awards. Report on steps taken to ensure this occurs.</p> <p>If State elects to apply for a two year budget and project period, FY 2005 FSR will be an interim submittal.</p> <p>40 C.F.R. Part 31</p>	
2.5.7	Maintain records as per §142.14	
End of info for PWSS Workplan, although option items in #4 and #5 items could be listed as well for state to choose from and for tracking purposes.		

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
3	<p>Activities Required to Receive Drinking Water State Revolving Loan Fund (DWSRF) Program Allocation</p> <p>Note: Section 3 is included in this Generic Program Guidance for additional background information and to help describe the full breadth of the SDWA programs. If any state activity to meet requirements outlined here in Section 3 are funded under the DWSRF set-aside funds, they should NOT appear in the PWSS Program grant workplan. See additional National and Regional Guidance for more details on DWSRF applications/workplans.</p> <p>The activities under Sections 3.0 General Provisions, 3.1 Capacity Development, and 3.2 Operator Certification are required to receive the entire DWSRF Program Allocation. The activities under Section 3.3 Source Water Protection, are not required to receive DWSRF funds. However, if the State wishes to adopt alternative monitoring requirements, the State must have an approved source water protection program, and the State can use DWSRF funds to conduct source water assessments.</p> <p>Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.</p> <p>Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in fish and shellfish, and in recreational waters.</p> <p>Subobjective 1: Water safe to drink</p>	
	<p>3.0 General Provisions</p> <p>This portion of the Checklist should be used to capture the 2%, 10% and 15% Set-aside funded activities only. The 4% Administrative set-aside and the loan portion of the program are handled by the MFAB at EPA Region 3 and as such, as not covered here unless specifically identified. A few reminders: State must (1) prepare a plan that identifies the intended uses of the amounts available to the DWSRF Program, annually, SDWA 1452(b)(1); (2) Develop and publish a list of prioritized projects in the State that are eligible for funding. The State should develop an overall priority list, as well as a list of projects to be funded in the coming year, SDWA 1452(b)(3)(B) and page 9-11 of the February 28, 1997 final DWSRF Guidance; (3) Review all Significant Non-compliers and list of chronic non-compliers before providing a loan, SDWA 1452(a)(3)(C); (4) Prepare and submit a report to U.S. EPA every 2 years on the State's activities in administering the DWSRF Program, including the findings of the most recent annual audits of the fund conducted by the State. SDWA 1452(g)(4), and page 45 of the February 28, 1997 final DWSRF Guidelines; and (5) provide semi-annual progress reports on Set-aside funded activities.</p> <p>Outputs as noted below with each set-aside</p> <p>Outcomes: Improved operational and/or financial efficiency; improved compliance with NPDWR for systems receiving technical assistance or improved operator performance; attainment of Primacy for new rules (for states using program funds for this purpose); improved data quality (for states using program funds for this purpose); reduced treatment expenses for water systems due to source water protection efforts; improved customer and stakeholder satisfaction; improved efficiency through consolidation or regionalization.</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
3.0.1	2% set-aside funded activities	
3.0.2	10% set-aside funded activities	
3.0.3	15% set-aside funded activities	
<p>3.1 Capacity Development</p> <p><u>Background Notes:</u></p> <p>The State had until September 30, 1999 to obtain legal authority or other means to ensure that all new CWSs and new NTNCWSs that commence operation after October 1, 1999, demonstrate technical, managerial, and financial, (TMF) capacity with respect to the NPDWRs. Twenty percent of a State's allotment would have been withheld beginning October 1, 1999 for FY'00 funds. In the fiscal years following a state's initial documentation of a fully functional program, a state must document that it is requiring a demonstration of technical, managerial, and financial capacity by every new CWS and every new NTNCWS to avoid withholding of 20% of its DWSRF allotment. 1452(a)(1)(G)(i) and 1420 (a), and page 15 of the February 28, 1997 DWSRF Guidelines.</p> <p>The State had until August 6, 2000 to develop and begin implementing a strategy to assist existing PWSs in acquiring and maintaining technical, managerial, and financial capacity, otherwise 10% of the FY '01 DWSRF funds allocated to the State would have been withheld. In the fiscal years following a state's initial documentation of a fully functional program, a state must document that it is implementing its strategy to avoid withholding of 20% of its FY'03 DWSRF allotment and in each subsequent year. 1452(a)(1)(G)(i) and 1420 (c), and page 16 of the February 28, 1997 DWSRF Guidelines.</p>		
3.1.0	<p>Capacity Development Authority (New Systems) SDWA Section 1420</p> <p>The state's program will be evaluated annually as of October 1. The withholding occurs at the time of the DWSRF award for those FY funds. Appendix D is a placeholder for new EPA Guidance expected Summer 2005.</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
3.1.0.1	<p>Annual Review and Reporting on New System Demonstration of TMF:</p> <p>A state must document that it is requiring a demonstration of technical, managerial, and financial capacity by every new CWS and every new NTNCWS.</p> <p>Documentation could consist of summary statistics regarding the number of new CWSs and NTNCWSs and the results of their required capacity demonstrations. Documentation should also address methods used to evaluate and verify program implementation.</p> <p>Each semi-annual progress report should include:</p> <ul style="list-style-type: none"> • Number and list of approved new CWSs and NTNCWSs • Compliance status of new CWSs and NTNCWSs that commenced operation after October 1, 1999 <p>See PWSS Guidance, Appendix D for a sample reporting format.</p>	
3.1.1	<p>Capacity Development Strategy (<u>Existing Systems</u>) 1452(a)(1)(G)(i) and 1420 (c), and page 16 of the February 28, 1997 DWSRF Guidelines. A state must document that it is implementing its strategy to avoid withholding of 20% of its DWSRF allotment in FY'03 and subsequent years. Appendix D is a placeholder for new EPA Guidance expected Summer 2005.</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
3.1.1.1	<p>Annual Review and Reporting for <u>existing system</u> implementation:</p> <ul style="list-style-type: none"> • Each year, as a stand-alone submittal; as part of the semi-annual self assessment; or as part of the state's capitalization grant application, the state must provide documentation showing the ongoing implementation of their capacity development strategy. • Such documentation may consist of a concise narrative description of the major activities being conducted and planned for under the state's capacity development strategy. 	
3.1.2 Other Annual Review and Ongoing Reporting Requirements:		
3.1.2.1	<p>Submit, and periodically update, a list of CWSs and NTNCWSs that have a history of significant noncompliance (SNC) and, to the extent practicable, the reasons for their noncompliance. Failure to submit the list could result in the withholding of 20% of the state's DWSRF.</p> <p>(This activity repeats every three years)</p> <p>SDWA 1420(b)</p>	Output: Historical SNC listing provided by July 15, 2006
3.1.2.2	<p>The State must submit a report to the Governor on the efficacy of the strategy and progress made toward improving the technical, managerial, and financial capacity of PWSs in the State. The report shall also be made available to the public. (This activity repeats every three years). See EPA Guidance provided on suggested content of this report</p>	Output: report to the Governor provided by 9/30/2005
3.2	Operator Certification Programs	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
3.2.1	To avoid a 20% SRF withhold, States must continue to implement Programs that meet the baseline requirements of the Guidelines and provide Annual Program Reports as per EPA Guidance memo dated 10/15/2001.	Output: annual report due to EPA by June 30 each year
3.3	Source Water Assessment and Protection <u>Background Notes:</u> Source water assessments are required of primacy States, if the State chooses to adopt alternative monitoring requirements under 1428(b). DWSRF funds can be set aside to administer or provide technical assistance through source water protection programs.	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
3.3.0	<p>Implement State Source Water Assessment Program (SWAP) Plan, and report progress and relevant activities underway. Include copies of contract agreements, MOUs, etc. with other agencies and contractors as per DWSRF Grant Condition. Discuss any significant barriers to implementation with EPA as soon as possible.</p> <p>The GPRA Goals are:</p> <p>a) # and % of population and community water systems (or source water areas) that will achieve minimized risk to public health by substantial implementation, as determined by the state, of source water protection actions in a source water strategy.</p> <p>b) # and % of community water systems (or source water areas) that have a protection strategy in place.</p> <p>c) # and % of community water systems (or source water areas) that have implemented some aspect of a protection strategy.</p> <p>SDWA 1453(a)(3) & GPRA</p>	<p>Outputs: number of assessments conducted at CWS = _____ at NTNCWS = _____ at TNCWS = _____</p> <p>Please also report using form in Appendix E.</p>

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
4. Recommended Activities (These are activities that do not affect PWSS Primacy or the receipt of Drinking Water State Revolving Loan Funds. However many could be funded under either program.)		
Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.		
Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in fish and shellfish, and in recreational waters.		
Subobjective 1: Water safe to drink		
4.0	Report system street address information and the latest sanitary survey information to SDWIS, including sanitary surveys at Federal facilities. Please also report owner type codes, so that Federal facilities can be identified, and service area category information codes, so that schools, mobile home parks, etc., can be identified. Please submit complete and accurate source information. (Refer to Federal Reporting Data System (FRDS)/SDWIS documentation for the details on this reporting.) Please provide complete treatment process and treatment objective codes so that source waters requiring treatment beyond conventional treatment to address source water quality problems can be identified in 305(b) water quality assessments, and the Index of Watershed Indicators. See SDWIS reporting Guidance	
4.1	Enter informal enforcement actions to SDWIS to present a more complete picture of violation follow-up.	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
4.2	Enter or correct latitude/longitude information to SDWIS for any remaining systems. Enter or correct the information on surface water systems first. Priorities for entering data for the remaining systems are groundwater CWSs next, then groundwater NTNCWSs, followed by TNCWSs. Coordinate, as appropriate, with the EPA data management staff to ensure that all needed data storage capabilities for source water protection efforts are accounted for in the modernized EPA STorage and RETrieval system (STORET), EPA's data management program for ambient water quality. Also coordinate with State Clean Water Act and EPA staff to strengthen State georeferencing capabilities to better track monitoring information for mapping and GIS applications. GIS tools, including the Reach File 3 system that assigns unique location identifiers to the waters of the U.S., will be valuable in source water assessments.	
4.3	Develop and maintain a cross connection control program. §142	
4.4	Interact with other State programs, local governments, and other stakeholder groups that affect or are affected by the drinking water program (e.g., wellhead protection programs, watershed protection programs).	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
4.4.0	Plan for source water protection and source water assessment programs simultaneously. For example, use current information on the hydrology and hydrogeology of different regions of the State to determine the degree of detail appropriate for the source water assessments. These assessments are necessary to support the source water protection programs being considered. Protection programs will likely be necessary in order to provide local flexibility on monitoring relief, ground water disinfection, regulation of Class V underground injection control wells, and filtration.	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
4.4.1	<p>Participate in State implementation of the 305(b) guidelines for drinking water to elevate awareness of drinking water as a designated use within the 305(b) program, increase the percentage of waters assessed for drinking water use support, and enhance the accuracy and value of the assessments. Facilitate a working relationship between the State drinking water and clean water staff to provide the most accurate and representative assessment of source waters, based on available data which the State believes best reflects the quality of the resource. Adopt the Watershed approach. Work with State water quality standard staff to ensure that use designations under the Clean Water Act reflect the location of surface source water areas for drinking water intakes, and wellhead protection areas which may be influenced by surface water (i.e., induced infiltration of surface water into drinking water wells). Be sure upstream dischargers are aware of downstream drinking water intakes. Also, work cooperatively with State ambient monitoring staff, including the 305(b) staff, to ensure that duplication of monitoring efforts in source water assessment projects are not occurring, that existing data are recognized and used, and that any new data that are collected are appropriate. EPA Region III will assist in the use of STORET data as needed.</p>	
4.5	<p>Coordinate with national, State, and local agencies to encourage identification and reporting of waterborne disease outbreaks associated with drinking water.</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
4.6	Encourage systems to optimize their treatment plant performance beyond current requirements. (Participation in Partnership for Safe Water and/or Area Wide Optimization Program)	
4.7	Perform public education responsibilities, such as responding to press inquiries, educating the general public, and conducting outreach.	
4.8	Obtain Internet access to improve communications with other agencies, and outreach to the public. Develop computer communications with field offices.	
4.9	Track the following compliance assistance activities: small system assistance programs, workshops, onsite assistance, guidance on State regulations and other outreach materials, hot lines or other responses to inquiries from individuals, trade shows, and conferences. Note: The Office of Enforcement and Compliance Assistance at Headquarters is interested in State compliance assistance efforts. Please provide whatever information is easily available, or that does not require extensive time and resources to collect. (This type of information should also be included in the State's Annual Compliance Report, due each July 1 for the previous calendar year.)	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
4.10	<p>Water Conservation Guidelines: On August 6, 1998, EPA published a document entitled "<i>Water Conservation Plan Guidelines</i>." These voluntary guidelines will encourage conservation by water systems, particularly small systems, thereby extending the life of water treatment infrastructure and reducing costs.</p> <p>The guidelines do not contain any federal requirements; however, after August 6, 1999 states and Indian Tribes may require water systems to submit a water conservation plan consistent with EPA's guidelines as a condition of receiving a loan from a State Drinking Water Loan Fund.</p>	
4.11	<p>Drought Contingency and Water Supply Assistance: Continue to monitor water systems affected by drought conditions to ensure an adequate supply of water. Assist water suppliers with obtaining alternate sources, handling any contamination associated with the drought, development of contingency plans and assisting with outreach efforts on water conservation.</p>	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
5.	Additional State Activities funded with PWSS Grant monies: Include here any additional projects funded under the PWSS grant. You may also want to use this area to track equipment purchases, staff hiring, etc. or do so on a separate page.	
Tasks	Activities	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
6. Water Protection (Security) Coordination Grants Separate Guidance is issued regarding these grants. This section of the checklist can be used to list the activities funded so that the Checklist can be used for reporting purposes.		
Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.		
Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in fish and shellfish, and in recreational waters.		
Subobjective 1: Water safe to drink Outcomes: improved protection of critical infrastructure; increase state preparedness, response, and recovery capabilities; increased state coordination, communication and information sharing capabilities; changes in management and operation of water systems based on training; increased awareness of water utilities, general public, local police and emergency responders, and others of the areas of concern from public water system perspective.		
Tasks	Activities/Outputs	
6.1	On-site visits re: completion of VAs.	
6.2	Technical assistance and training to PWS in developing ERPs.	
6.3	Mail 1,000 assistance packages, including e-version to 555 PWS.	
6.4	Offer packages to small systems (<3,300).	
6.5	Provide assistance to small systems as requested.	
6.6	Develop mechanism to make data available to field staff (handheld PCs)	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
6.7	Update sanitary survey data and info. collection procedures	
6.8	Disseminate guidance info. and related data to PWS. ER Assist. Materials	
6.9	Equip key staff w/ cell phones and pagers for rapid communication	
6.10	Staff travel to out-of-state meetings, workshops and seminars for essential info. and tools to assist PWS w/ VAs and ER Plans	
6.11	Provide five (5) ER planning mock drills	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
7. Operator Certification Expense Reimbursement Grants (ERG) Separate Guidance has been issued for these grants. Use this space on the Checklist to capture the funded activities and use this tool for reporting purposes. NOTE: Environmental Results provisions do not apply to these grants. These grants were awarded prior to EPA Order.		
Goal 2: Safe and Clear Water--Ensure drinking water is safe. Restore and maintain oceans, watersheds and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitat for fish, plants and wildlife.		
Objective 1: Protect human health by reducing exposure to contaminants in drinking water (including protecting source water), in fish and shellfish, and in recreational waters.		
Subobjective 1: Water safe to drink		
Tasks	Activities	
	Funding Amount for Administration /Management: For payroll, overhead, and working with the vendors in implementing the work plan.	
	Outside e-Training Vendor Contract: award a contract to a vendor for web based training (e-Training) for small system operators.	
	In-House Development: Develop in-house internet training programs and purchase a web-based platform with the necessary software.	
	Backflow Prevention and Testing Program: To implement a new certification program, Backflow Prevention Assembly Test(s). The training will allow operators who are already certified to meet continuing education requirements.	

Task	Activity (Also notes statutory/regulatory citations)	Semi-Annual Progress Reporting and Additional Comments Outputs and Outcomes
	Summarize cost expenditures and identify where these funds were used during this reporting period. Percentage (%) and dollar (\$) amount spent to date.	